

FY 2004

Environment, Safety, And Health

ISM Performance Assessment Model

Lawrence Berkeley National Laboratory

University of California Laboratory Management Office

Department of Energy - Berkeley Site Office


February 20, 2004

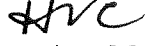
Background Information


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Introduction

The Environment, Safety, And Health (ES&H) Functional Managers from the Lawrence Berkeley National Laboratory (LBNL), the Department of Energy (DOE) Berkeley Site Office, and the University of California Laboratory Management Office have agreed to assess Performance Measure 1.1 as prescribed in Appendix F.

Performance Measure 2.1 will be assessed through the ES&H ISM Balanced Scorecard. This Balanced Scorecard has been mutually adopted by all parties and establishes the sub-measures for Criterion 2.0.

Performance Assessment Components

The following Balanced Scorecard model shall be used for the evaluation of Performance Measure 2.1 only.

ISM Balanced Scorecard

Balanced Scorecard	ISM Functions	Performance Expectations	BSC Measurements	Weighting Factor	Goals/Ratings
Customer	Scope of Work and Planning	Missions are effectively translated into work. Responsibility for safety by managers and staff is effectively communicated.	<i>Self-Assessment ISM Criterion E2</i> , There is ongoing and systematic ES&H communication between management and staff.	1X	Strong ES&H communication in organization.
	Feedback and Improvement	Internal customers are satisfied with EH&S services and programs that support a safe workplace and protection to the environment and public.	<i>Self-Assessment ISM Criterion E11</i> , Managers and staff are regularly involved in ES&H feedback and improvements.	1X	Customers actively engaged in ES&H activities.
Financial	Scope of Work and Planning	There is cost effective delivery of ES&H services and programs. Value is added while controlling costs.	Annual Operations Scorecard ratings for EH&S performance in quality, timeliness, cost, communication, innovation and support of missions.	1X	Customer feedback positive in all areas.
			<i>Self-Assessment ISM Criterion E1</i> , Resources are effectively allocated to address ES&H considerations.	1X	Effective allocation of ES&H resources.
			Evaluate ES&H cost effectiveness and establish FY05 performance goals as applicable. (see note 1)	1X	Evaluate ES&H cost effectiveness and establish FY05 performance goals as applicable. (see note 1)

Operations (Internal Business Process)	Hazard Identification and Analysis	There is an effective process to identify, analyze and categorize LBNL hazards.	<i>Self-Assessment ISM Criterion E4</i> , Divisions have a process to identify, analyze, and categorized hazards associated with work.	1X	Hazard ID and analysis system in place & effective.
	Implementation of Hazard Controls	Administrative and engineering controls to prevent/mitigate hazards are effectively tailored to the work being performed. Applicable safety standards, requirements, and safety envelopes are established.	<i>Self-Assessment ISM Criterion E5</i> , Engineering and other safety controls are in place and maintained; <i>Criterion E6</i> , Administrative controls are in place and maintained.	1X	Controls checked and effective.
	Perform Work	LBNL operations and activities will minimize accidents and injuries.	Progress shall be measured towards reducing the TRC and DART rates to the 25 th percentile of the 2001 SIC 873 large establishment rates by FY2005. (see note 1)	5X	% Progress in meeting the 25 th percentile of the 2001 SIC 873 rates. (see note 1)
People	Feedback and Improvement	Employee development promotes staff competency and professional certifications.	<i>Self-Assessment ISM Criterion E9</i> , Staff is proficient in performing work safely.	1X	% Completion of required training.
			Benchmarking shall be conducted to gather information on staff professional certification. Future performance goals shall be established. (see note 1)	1X	Complete benchmarking and establish future performance goals. (see note 1)
Ethics Governance Compliance	Perform Work	External reviews by regulatory agencies show that LBNL is in compliance with regulatory requirements.	Number of major non-compliance issues is below internal control number.	4X	Incidents of noncompliance under control number.
Overall Percent Score					total weighted numerical value / 54 (total possible score)

Notes:

1. Performance ratings of BSC measures for ES&H cost effectiveness (financial), TRC/DART rates (operations), and professional certifications (people) are described in detail below. The measures and ratings were jointly agreed upon by LBNL and BSO on February 13, 2004 as follows:

BSC "People" Measure: Employee development promotes staff competency and professional certification.

Lab Process: Benchmarking will be conducted to gather information on professional certification, licenses, and degrees achieved for staff at other DOE laboratories and/or comparable industries. As part of the benchmarking effort, LBNL staff who have certifications, licenses and professional degrees or are in career positions where such certification would be beneficial will be identified. The benchmarking results will be the basis for future performance goals.

Performance Rating:

Satisfactory (green): Benchmarking will be developed and conducted to gather information on staff certification, licenses, and degrees at other DOE laboratories and/or comparable industries. As part of the benchmarking effort, LBNL staff who have certifications or are in career positions where certification would be beneficial will be identified. Future performance goals are established as a result of the benchmarking.

Partial (yellow): Benchmarking has been completed. Future performance goals have not been established.

Marginal (red): The benchmarking has not completed.

BSC "Financial" Measure: There is cost effective delivery of ES&H services and programs. Value is added while controlling costs.

Lab Process: As part of a multi-year effort, evaluate the cost effectiveness of LBNL ES&H services and programs. Establish performance goals for improved cost effectiveness as applicable.

Performance Rating:

Satisfactory (green): Evaluate ES&H cost effectiveness. Establish FY 2005 performance goals based on the results of the ES&H cost effectiveness evaluation.

Partial (yellow): Partial progress has been made in evaluating the ES&H cost effectiveness.

Marginal (red): No or minimal progress has been made in evaluating the ES&H cost effectiveness.

BSC "Operations - Accident Prevention" Measure: LBNL operations and activities will minimize accidents and injuries.

Lab Process: The Lab will reduce its TRC and DART rates to the 25th percentile of the 2001 SIC 873 large establishment rate by fiscal year 2005. For fiscal year 2004, LBNL shall demonstrate significant progress towards meeting the 25th percentile goal. The corresponding TRC/DART rates are the following:

Performance Rating:

Ratings		TRC	DART
Satisfactory (green)	3pts	30% reduction or greater (≤ 1.725)	≤ 0.77
Partial (yellow)	2pts	20% to 30% reduction (>1.72 to ≤ 1.95)	>0.77 to ≤ 0.99
Marginal (red)	1pt	10% to 20% reduction (>1.95 to 2.2)	>0.99

Less than a 10% reduction in TRC is below marginal and receives 0 pts.in the scoring.

2. BSC scoring is based on a red/yellow/green (unsatisfactory/marginal/satisfactory) rating system. Each color-coded rating has a numerical value equal to: green = 3 points; yellow = 2 points; red = 1 point. Each BSC measure has a weighting factor of 1X, 4X, or 5X its numerical score to signify the relative importance of the measure in the Balanced Scorecard. Overall score is the total numerical value of the measurement ratings over the total possible score of 54. The BSC overall percent score is the basis for rating performance for Measure 2.1, ISM System, in the Appendix F contract.
3. BSC measurements shall utilize existing LBNL metrics whenever feasible. Seven of the eleven measures are from Berkeley Lab's FY04 Self-Assessment ISM Performance Criteria. Each ISM criterion is given a percent score based on performance from each of the 16 LBNL divisions or directorates. The ISM percent score is equivalent to the BSC color-coded rating as follows: 90% to 100% = green; 80%-89% = yellow; and less than 79% = red. ISM percent score is provided in the far right column of the "At-a-Glance" table from the Lab's Annual ES&H Self-Assessment Report.
4. Eight of the eleven measures have direct application to DOE's annual validation of ISM. For DOE's purposes, the scores of those measures can be used separately from the total ISM Balanced Scorecard.
5. Incidents of noncompliance are based on the number of reportable occurrences under Group 9 of the Occurrence Reporting and Processing System (ORPS). Less than or equal to two occurrences = green rating; More than two and less than four occurrences = yellow rating; and more than four occurrences = red rating.